




# KANSAS DEPARTMENT OF CORRECTIONS

	<b>INTERNAL MANAGEMENT POLICY AND PROCEDURE</b>	<b>SECTION NUMBER</b>  <b>05-104</b>	<b>PAGE NUMBER</b>  <b>1 of 11</b>
		<b>SUBJECT:</b>  <b>INFORMATION TECHNOLOGY AND RECORDS: Organization of Offender Files</b>	
<b>Approved By:</b>  <b>Secretary of Corrections</b>		<b>Original Date Issued:</b> <span style="float: right;"><b>01-17-83</b></span>	
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<b>Reissued By:</b>  <b>Policy &amp; Procedure Coordinator</b>		The substantive content of this IMPP has been reissued as per the appropriate provisions of IMPP 01-101. The only modifications within the reissue of this document concern technical revisions of a non substantive nature.  <b>Date Reissued:</b> <span style="float: right;"><b>07-15-11</b></span>	

## POLICY

While the data contained in the automated Management Information System is the official departmental record for each offender sentenced to the custody of the Secretary of Corrections, Master, Unit Team, Parole, and Central Office Files shall be established and maintained for each offender. (ACI 3-4092) A parole file shall be established and maintained for each offender released to parole or post-release supervision. (APPFS 3-3101) These files shall be organized in a uniform manner and shall contain only that material specified for each file type.

All entries in the case record shall be signed and dated.

## DEFINITIONS

Central Office file: The hard copy file maintained in the Department's Central Office.

Commitment name: The name shown on the journal entry/judgment form. In the event of multiple journal entry/judgment forms, the name shown on the journal entry/judgment form establishing the primary sentence shall be used.

Hard Copy file: A file comprised of written and/or typed documents.

Master file: The primary inmate file, portions of which may be computerized and/or maintained in the Offender Management Information System (OMIS) or on the document imaging system.

Offender: A person who is in the legal custody/jurisdiction of the Secretary of Corrections. This term refers to both inmates and persons under post-incarceration supervision.

Parole file: The case record regarding the supervision history, decisions, and events related to an offender's post-incarceration or interstate compact probation/parole supervision.

Skeleton Master File: A file comprised of written and/or typed documents pertaining to an inmate, that have been retained for quick and easy access in the event of an emergency when the imaged inmate file may not be available.

Unit Team file: A hard copy case management file maintained in or near the inmate's facility living unit.

## **PROCEDURES**

### **I. Master File**

#### **A. Origination of Master File**

1. The records officer at the receiving facility's reception and diagnostic Unit shall be responsible for originating and developing a master file when the offender is admitted for the first time into KDOC custody, per IMPP 05-103.
  - a. A complete file folder, containing all appropriate index dividers, shall be developed by the receiving facility in accordance with this procedure. This folder shall be 8 ½"x11".

#### **B. Organization of Hard Copy Master Files (Non Imaged)**

1. Each offender master file shall contain index divider cards that indicate the right (R) or left (L) side of the folder.
  - a. This IMPP shall designate which materials shall be placed on the right (R) or left (L) side of the file folder.
  - b. Existing instructions contained on the index divider cards shall be ignored and materials shall be filed in accordance with the provisions of this IMPP.
    - (1) Once a master file's material is re-distributed per this IMPP, the index card instructions should be crossed out.
2. The records officer of the facility having custody and maintenance responsibility for the master file shall ensure that all written material and documents are filed in the appropriate section and sequence.
3. All reports and documents shall be filed in reverse chronological order, the oldest dated at the bottom of the section and the newest on top.

#### **C. Organization of Imaged Master Files**

1. All imaged documents shall be filed in TABs corresponding to the sections of the hard copy Master file (e.g., L-0 to L-8 and R-0 to R-8)

#### **C.D. Left File Folder Index**

1. Section L-0, the top item on the left side of the file folder shall be the Admissions Data Sheet.
  - a. Immediately behind the data sheet shall be all emergency notification documents.
  - b. Immediately behind the notification documents shall be the escape flyer sheet.
  - c. Immediately behind the escape flyer sheet shall be the following materials related to Sentencing Guidelines:
    - (1) Sentencing Guideline Requests for KBI, or FBI rap sheets, or other related material;
    - (2) Sentencing Guideline Criminal History Worksheet; and,

- (3) Drafts of the Sentencing Guidelines Report and other supporting work sheets.
- 2. Section L-1 shall contain the following admission documents and materials related to time computation:
  - a. Good time computation work sheets and good time award/forfeiture logs;
  - b. Journal entry/judgment and court orders of commitment;
  - c. Body receipts for initial commitment, re-commitments;
  - d. District/county attorney reports, information/complaint, defense attorney report;
  - e. Sentence computation work sheets;
  - f. Court ordered discharge documents; and,
  - g. KDOC warrants for post-incarceration supervision violations, escapes, etc.
- 3. Section L-2 shall contain documents pertaining to temporary inmate releases, such as to furlough or court appearance. Such documents include:
  - a. Court papers ordering the release to court;
  - b. Furlough related materials (investigation reports, Order of Furlough, etc.);
  - c. Admission movement records;
  - d. Release schedules; and,
  - e. Reintegration program material.
- 4. Section L-3 shall contain Incident and Disciplinary Reports including:
  - a. Staff reports and reviews regarding Administrative and Disciplinary Segregation;
  - b. Disciplinary Reports, dispositions, and summary records;
  - c. Incident and accident reports; and,
  - d. Reports regarding escape actions.
- 5. Section L-4 shall contain detainers and warrants including:
  - a. Notifications of detainers and warrants (except post-incarceration release violations); and,
  - b. Correspondence related to requests and cancellation notices.
- 6. Section L-5 shall contain information regarding clemency including:
  - a. Facility progress reports and related materials relative to clemency applications; and,
  - b. Affidavits, request for publication, and verification publication in official county newspaper.

7. Section L-6 shall contain materials regarding parole actions and supervised release, including:
  - a. Information system post-incarceration supervision records;
  - b. KDOC/KPB charges for post-incarceration supervision/parole violation;
  - c. Pre-parole investigations and report on parole plan;
  - d. Waiver of extradition/agreement to return;
  - e. KPB Parole action notices;
  - f. Post-incarceration supervision release certificates;
  - g. Final parole progress/closing summary;
  - h. Release schedule;
  - i. Post-incarceration supervision violation reports;
  - j. Parole risk/needs assessment;
  - k. Supervision plans;
  - l. Client report forms;
  - m. Acknowledgment forms;
  - n. Travel permits;
  - o. Chronologicals; and,
  - p. Post-incarceration supervision revocation materials, to include:
    - (1) Statements of charges;
    - (2) Notices of hearings;
    - (3) Morrissey hearing summaries;
    - (4) Violation reports;
    - (5) Secretary of Correction's warrants;
    - (6) Arrest and Detain warrants;
    - (7) Preliminary hearings;
    - (8) Summaries of preliminary hearings, if available; and,
    - (9) Police reports related to offenders' criminal activities.
8. Section L-7 shall contain miscellaneous documents and correspondence regarding the offender including:
  - a. Personal data on commitment;
  - b. Fingerprint card and disposition notice to KBI;

- c. FBI record (rap sheet);
- d. Photo envelope for transfer/release/escape material;
- e. Signed copy of procedures for expungement of conviction;
- f. Signed acknowledgment of receipt of program/facility orientation, rules, and disciplinary policy;
- g. Signed release of information forms and released information; and,
- h. Offender's drivers license.

D.E. Right File Folder Index

- 1. R-0, the top of the right section shall display security notification documents including:
  - a. Special management notes.
    - (1) Such notes shall be printed on pink paper and shall be the top sheet.
  - b. Criminal History Record Information (CHRI) Dissemination Log.
- 2. Section R-1 shall contain evaluation/progress reports including:
  - a. Pre-Sentence and RDU Evaluation Reports;
  - b. Program Agreements;
  - c. Program Classifications;
  - d. Custody Classification documents;
  - e. Progress reports/closing summaries for substance abuse treatment and/or sex offender treatment participation;
  - f. Parole Eligibility Report sheets;
  - g. Centrally Monitored Inmate Review and related correspondence, memos or documents, upon an inmate's removal from the centrally monitored system, in accordance with IMPP 12-125; and,
  - h. Transfer summary from facility.
- 3. Section R-2 shall contain copies of correspondence to the offender including:
  - a. Correspondence from the Secretary of Corrections; and,
  - b. Correspondence between the Kansas Parole Board and the offender.
- 4. Section R-3 shall contain correspondence regarding the offender including:
  - a. Correspondence between the facility staff and KDOC;
  - b. Correspondence between the Kansas Parole Board and facility/field; and,
  - c. Correspondence between staff and other agencies.

5. Section R-4 shall contain mental health history information including reports resulting from participation in contract or state mental health programs.
6. Section R-5 shall contain academic/vocational documents including:
  - a. RDU/facility testing results;
  - b. On-site study/study release, correspondence study;
  - c. Certificates for academic/vocational achievements; and,
  - d. Information system program records.
7. Section R-6 shall contain work release and financial obligation documents including:
  - a. Work Release Budget sheets;
  - b. Work release (KDOC operated, private/non-prison, and contract) programs;
  - c. Documents related to child support payments; and,
  - d. Documents related to restitution and other financial obligations.
8. Section R-7 shall contain TCF-RDU questionnaires/reports including:
  - a. Immediate family questionnaires;
  - b. Affidavits of common-law marriage;
  - c. Other facility summaries/reports;
  - d. Former employment reports;
  - e. Military service reports; and,
  - f. Social background reports.
9. Section R-8 shall contain correspondence from the offender's family and friends.

## **II. Organization Of The Skeleton Master File**

- A. Contents of folder
  1. Court Documents
  2. Birth Certificate
  3. Disposition of Deceased Inmate Body Form
  4. Drivers License
  5. Emergency Notification
  6. Escape Flyer
  7. Face Sheet
  8. Fingerprint card

9. Pre-sentence Investigation Report
10. Social Security Card
11. Offender Photo (Mug Shot)
12. CHRI Dissemination Log

### **III. Unit Team File**

- A. Unit team records shall be organized according to the following format:
  - 2.1. Folder Contents
    - a. Current Emergency Notification (per IMPP 10-123)
    - b. Telephone list (per 10-111)
    - c. Visitation lists and supporting materials (until automated)
    - d. Narratives and work reports since last review
    - e. Form 9s as deemed necessary by counselor
    - f. Miscellaneous information
  2. If the materials in the UT file are imaged, the paper copy may be destroyed.
  - 4.3. Counselors may retain additional copies of materials, but shall be responsible for removing them from the file prior to the inmate's transfer to another facility or release.
- B. Unit team records for imaged records shall be organized according to the following format:
  1. Left side of folder
    - a. Current Admission Data Summary
    - b. Current emergency notification
    - c. Data
    - d. Current telephone list
    - e. Visitation list/materials
  2. Right side of folder.
    - a. Chronological entries
    - b. Medical classification

### **IV. Parole File**

- A. All reports and documents shall be filed in reverse chronological order, the oldest dated at the bottom of the section and the newest on top. Colored paper may be used to separate documents from previous supervision periods.
- B. The parole file shall be organized according to the following format:

1. The three (3) part file folder shall be divided into three (3) sections, each consisting of a right and left side.
2. All documents in Section 1 of the folder shall include:
  - a. Left Side:
    - (1) Contact notes and chronological information.
  - b. Right Side:
    - (1) Offender report form;
    - (2) Urinalysis (U.A.) test results, UA chain of custody, admission of usage form;
    - (3) Permit to Leave State;
    - (4) Third Party Notification Forms;
    - (5) Reduced Supervision Reports;
    - (6) AA/NA Slips and Pay Stubs;
    - (7) Job Contact Sheets
3. All documents in Section 2 of the folder shall include:
  - a. Left Side:
    - (1) Any printed document related to classification (risk and needs assessments, LSIR documentation
    - (2) Override forms, supporting documentation and responses;
    - (3) Good Time Award Records, Good Time Logs; and
    - (4) OMIS movement records and related information,
  - b. Right Side:
    - (1) Supervision Plan;
    - (2) Information pertaining to restitution;
    - (3) Offender Financial Statement;
    - (4) Information pertaining to supervision fees; and,
    - (5) Community Service Work Forms and Reports.
    - (6) Budget Forms
4. All documents in Section 3 of the folder shall include:
  - a. Left Side:
    - (1) Violation Reports;



- (2) Order to Arrest & Detain;
- (3) Parole Violation Warrant and NCIC;
- (4) Warrant Withdrawal Form;
- (5) Statement of Charges / Notice of Preliminary Hearing;
- (6) Waiver of Revocation Hearing;
- (7) Summary of Preliminary Hearing;
- (8) Notice of Revocation Hearing;
- (9) Transportation Memo;
- (10) Diversion Agreement;
- (11) Case Reports/Discharge Recommendations, Informational Reports, etc;
- (12) Acknowledgment of: Gun Law, Grievance Procedure, Informant Policy;
- (13) Offender Information Sheet;
- (14) Special Conditions;
- (15) Probation and Parole Rules (for use in Interstate Compact cases.);
- (16) Interstate Compact Documents (Progress and Case Reports)
- (17) Certificate of Release: and,
- (18) Discharge Certificate.

b. Right Side:

- (1) Pre-Parole Report;
- (2) Phase II Investigation Requests and Reports on Release Plan;
- (3) RDU Diagnostic Report and Other Case Material;
- (4) Certificate of Identification;
- (5) Case File Review;
- (6) Interstate Compact Investigation Requests and Replies;
- (7) Any correspondence concerning offender: Law enforcement contact information, letters from citizens, mental health information, substance abuse summaries, inquiries regarding child support, SEO Reports, NCIC 2000 documentation;
- (8) SEO Reports and surveillance information;
- (9) Release of Information Forms;
- (10) Interstate compact case materials;

- (11) Offender Property Inventory Form;
  - (12) Electronic Monitoring and Global Positioning Documents;
  - (13) Reduced Referral Forms;
  - (14) File Transfer Forms; and
  - (15) Offender Photographs
- 5. All parole files shall be placed in the file cabinets in alphabetical order.”
  - a. Parole Eligibility Reviews;
  - b. Custody Exceptions;
  - c. Sentence Computations;
  - d. Interstate Corrections compact Correspondence;
  - e. Discharge Certificates;
  - f. Centrally Monitored Inmate Notification; and,
  - g. Escape/Apprehension Notification.
- 3. Section 3: Parole Board
  - a. Hearing Notes;
  - b. Hearing Notifications;
  - c. Official Comment Forms; and,
  - d. Parole Board Correspondence.
- 4. Section 4: Parole
  - a. Parole Certificates;
  - b. Orders of Restitution and/or related materials;
  - c. Violation Reports;
  - d. Warrants;
  - e. Requests for Investigation;
  - f. Interstate Compact Correspondence; and,
  - g. Revocation Packets.
- 5. Section 5: Absconder
  - a. Absconder Warrant Work Sheets;
  - b. NCIC Teletype Entries;

- c. Correspondence Concerning Apprehension of Absconders; and,
  - d. KBI Computerized Criminal History.
6. Section 6: Letters
- a. Miscellaneous Correspondence.
- B. All reports and documents shall be filed in reverse chronological order, the oldest dated at the bottom of the section and the newest on top.

**NOTE:** The policy and procedures set forth herein are intended to establish directives and guidelines for staff and offenders and those entities that are contractually bound to adhere to them. They are not intended to establish State created liberty interests for employees or offenders, or an independent duty owed by the Department of Corrections to employees, offenders, or third parties. Similarly, those references to the standards of various accrediting entities as may be contained within this document are included solely to manifest the commonality of purpose and direction as shared by the content of the document and the content of the referenced standards. Any such references within this document neither imply accredited status by a Departmental facility or organizational unit, nor indicate compliance with the standards so cited. The policy and procedures contained within this document are intended to be compliant with all applicable statutes and/or regulatory requirements of the Federal Government and the state of Kansas. This policy and procedure is not intended to establish or create new constitutional rights or to enlarge or expand upon existing constitutional rights or duties.

#### **REPORTS REQUIRED**

None.

#### **REFERENCES**

KSA 75-5210, 75-5221  
IMPP 05-101, 05-103, 10-111, 10-113, 10-123, 11-102, 11-106, 11-107, 11-117, 12-125  
ACO 2-1E-01, 2-1E-02, 2-1E-03, 2-1E-07  
ACI 3-4092, 3-4096  
APPFS 3-3101, 3-3102, 3-3103

#### **ATTACHMENTS**

None.